

Instructions

Agencies shall use the following standard application forms when applying for Federal Aid Grants. These forms, in PDF fillable/printable format, can be found at the Federal Aid Training Program webpage at <http://www.nctc.fws.gov/fedaid/toolkit/toolkit.pdf>. At your request, the Regional Office will mail a diskette or CD with fillable forms in PDF format for your use on any personal computer and printer.

Application

[SF-424 Application for Federal Assistance](#),

and as appropriate:

[SF-424A Budget Information \(Non-Construction\)](#)

[SF-424B Standard Assurances \(Non-Construction\)](#)

[SF-424C Budget Information \(Construction\)](#)

[SF-424D Standard Assurances \(Construction\)](#)

Financial

[SF-269 Financial Status Report](#)

[SF-270 Request for Reimbursement](#)

Lobbying

[SF-LLL Disclosure for Lobbying Activities](#)

Other Assurances

[DI-2010 Department of Interior Assurances form](#)

National Environmental Policy Act Compliance (NEPA)

Endangered Species Act Section 7 Compliance (ESA)

National Historic Preservation Act Compliance (NHPA)

Suspension and Debarment Certification

Drug Free Environment Certification

E.O. 11988, Floodplain Management

E.O. 11990, Protection of Wetlands

E.O. 12898, Federal Actions to Protect Environmental Justice in Minority Populations and Low Income Population (Environmental Justice)

American with Disabilities Act (ADA)

and the following U.S. Fish and Wildlife Service forms as applicable:

[3-1552 Grant Agreement](#) (OMB Approval 1018-0049)

[3-1591 Amendment to Grant Agreement](#) (OMB Approval 1018-0049)

Complete the SF-424 face sheet and the appropriate parts A or C and SF-424B assurances for nonconstruction projects or SF-424D assurances for construction projects.

A Grant Agreement (3-1552) form is required for all grants. Complete and have it signed by an Agency Official authorized to do so and include it with all grant proposal submissions. An Amendment to Grant Agreement (3-1591) is only required when changes in grant cost, period, or scope of work must be made.

In-kind match is an agency or third party noncash contribution such as volunteer services, land, equipment, supplies, etc. There are specific requirements to document the value of this on the SF-424, in budget/cost information, and in performance reports. See [43 CFR 12.64](#) for specific guidance on in-kind match, (especially how to calculate the value of volunteer services used as in-kind). There are also specific requirements in [43 CFR 12.64](#) for time accounting and documentation of volunteer time.





USFWS

Budgets

A preapplication shall be used for all construction, land acquisition and land development projects or programs when the need for Federal funding exceeds \$100,000, unless the Federal agency determines that a preapplication is not needed. A preapplication is used to:

- Establish communication between the agency and the applicant,
- Determine the applicant's eligibility,
- Determine how well the project can compete with similar projects from others, and
- Discourage any proposals that have little or no chance for Federal funding before applicants incur significant costs in preparing detailed applications.

Applicants shall use the appropriate Budget Information and Standard Assurances on the SF-424 for either construction or non-construction projects. They shall use the construction version when the major purpose of the project or program is construction, land acquisition or land development.

Budgets shall provide an estimated total by project objective and should match the objectives described in the proposal (see instructions for proposals below). Total grant costs are entered on the Grant Agreement 3-1552 or the Amendment to Grant Agreement 3-1591, the obligating documents.

Attach a schedule listing projects and dollar amounts within a grant. The total from the schedule should match the total on the Grant Agreement or Amendment to Grant Agreement.

Example:

(Name of Grant) Grant XX FY-XX Grant Number XX
Start Date _____ End Date _____

| Project | Estimated Cost | |
|-----------------------|----------------|---------------|
| A O&M | WR | 600,000 |
| B Habitat Improvement | SFR | 250,000 |
| C Construction | BA | <u>20,000</u> |
| TOTAL | | 870,000 |

(this total goes to Grant Agreement or Amendment)

WR = Wildlife Restoration
SFR = Sport Fish Restoration
BA = Boating Access

Grant Proposals

Applicants should include a project statement for each separate project under a grant proposal. The project statement should include:

- **Objectives and need for assistance.** Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for the assistance and state the principal and any subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included, footnoted, or referenced.
- **Results or benefits expected.** Identify costs and benefits to be derived. For example, show how the facility will be used. For land acquisition or development projects, explain how the project will benefit the public. For all projects list benefits and to whom or what resource, and quantify them in a standard measure such as dollars, acres, miles, etc.

USFWS



■ **Approach.** Outline a plan of action pertaining to the scope and details regarding how the proposed work will be accomplished. Cite factors which might accelerate or decelerate the work and reasons for taking this approach as opposed to others. Describe any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements. Provide for each project quantitative projections of the accomplishments to be achieved and target dates for completion. When accomplishments cannot be quantified, list the activities in chronological order to show the schedule of accomplishments and target expected completion dates. Identify the kinds of data to be collected and maintained, and discuss the criteria to be used to evaluate the results and success of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified are being achieved. List each organization, cooperator, consultant, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

■ **Geographic location.** Give a precise location of the project and area to be served by the proposed project. Maps or other graphic aids may be attached. Add latitude and longitude where possible; this is desired for all site specific development, such as boating access, construction, or land acquisition projects.

■ If applicable, provide the following information:

- (1) For research and demonstration assistance requests list the name, training and background for key personnel engaged in the project.
- (2) Describe the relationship between this project and other work planned, anticipated, or underway under Federal assistance.
- (3) Explain the reason for all requests for supplemental assistance and justify the need for additional funding. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location, approach or time delays, explain and justify.
- (4) For other requests for changes, or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded or if the individual budget items have changes more than the prescribed limits, explain and justify the change and its effect on the project.

■ For the following types of programs, the Regional Office may request the following additional information:

- (1) **Federal Aid in Wildlife Restoration:** For Hunter Education grants, If the work includes the construction of training facilities such as ranges, provide a description of each facility by type, capacity, and cost.
- (2) **Boating Infrastructure Projects:** How this project benefits the public and how is that benefit measured. Proposals will need to respond to the ranking criteria in §50 CFR 86.60.
- (3) **Partnerships for Wildlife Projects:** Describe the partnership involved in this project and what the relative contribution to the partnership is.

USFWS



USFWS





(4) **All land acquisition projects, regardless of program, must include:** In "Approach," describe the present ownership and habitat type of the real property to be acquired, and how the area will be managed. Include a listing of the lands, estimated costs, and the legal rights to be acquired (i.e., fee title, easements, or other long-term acquisition.) Also provide:

- (a) a legal description of the real property to be acquired;
- (b) an Appraisal prepared by a State-certified appraiser;
- (c) a Review Appraisal prepared by a State-certified appraiser;
- (d) a Purchase Option or Agreement; and
- (e) a Statement of Just Compensation.

■ **Section 6 of the Endangered Species Act:** Prerequisites for participation in grants under Sec. 6 are that the State establishes and maintains an adequate and active program for the conservation of endangered and threatened species [50 CFR 81.2], and has entered into a Cooperative Agreement with the Secretary of the Interior [50 CFR 81.3] which must be reconfirmed annually. Federal payments shall not exceed 75 percent of the program costs, except when two or more states have a common interest in one or more endangered or threatened species and may enter jointly into an agreement with the Secretary, thereby increasing the Federal share to 90% [50 CFR 81.8].

■ **Surveys and Inventory:** Ongoing grants must be reviewed every six years and address each of the following factors.

(1) **Adequacy:** Are the data answering the decision-makers' questions? The review should evaluate whether the data acquired from the survey are actually meeting the stated purpose. Analysis of trend data will identify whether data being collected are sufficient in answering the agency's management questions or whether data gaps exist. Timeliness of data collection, analysis and availability is important.

(2) **Necessity:** Are the data used by decision makers? In determining the necessity of a particular survey, consideration should be given to what data are actually being collected and their use in management decisions. Survey utility should be considered in the context of the agency's data needs, given necessary prioritization and allocation of staff and monetary resources.

(3) **Reliability:** Are the decision makers confident in the data? Survey design should be based on sound science and key results should be statistically reliable. A review of the literature will show whether the methodology is still current or if there are other state-of-the-art techniques that might prove more suitable. Validity of the survey approach and whether assumptions are met should be considered as well as whether sample sizes are sufficient to achieve desired levels of precision.

(4) **Efficiency:** Are the data being collected in a cost efficient manner? Data collection is costly, both in staff time and dollars expended. The cost of data collection and analysis should be assessed relative to applicability and use of the data by decision makers.





USFWS



USFWS

- **Habitat Management:** In "Approach," include the number of acres/hectares to be created or improved and the methods or techniques to be employed. If the work proposed involves the construction, enlargement, or rehabilitation of dams subject to Federal design requirements, provide evidence that an engineer qualified in the design and construction of dams has reviewed the design and specifications. For construction costing more than \$100,000, include written assurance that a qualified engineer will approve engineering plans and specifications, approve the feasibility determination, supervise the construction, and furnish a report of final inspection.
- **Facilities Construction:** In "Approach," provide a description of the capacity, type of construction, etc. of facilities. If specifically requested, include plans and specifications. If applicable, describe third party arrangements for operation and/or maintenance of the facility, including how revenue from any user fees will be handled. For construction costing more than \$100,000, include written assurance that a qualified engineer will approve engineering plans and specifications, approve the feasibility determination, supervise the construction, and furnish a report of final inspection.
- **Research:** In "Need," include a brief discussion of the literature review relative to the problem. In "Approach," describe how the research will be carried out, including the method(s) to be employed and the schedule to be followed. If the work (or major portion of the work) will be performed under an agreement with a third party, such as a university, identify the performer. Also include the name of the principal investigator.
- **All projects** must meet all applicable NEPA, Endangered Species Act (Section 7), National Historic Preservation Act, and other compliance requirements. Information will be collected as mandated under those and other Acts to satisfy compliance requirements. (This burden is included in the 80 hour estimate per application.)



USFWS